



Personnel Acquisition Demonstration Project (DEMO)

CCAS Process Briefing

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Contribution-based Compensation & Appraisal System (CCAS)

- **Goal**

- **Make pay consistent with contributions to the mission of the organization**

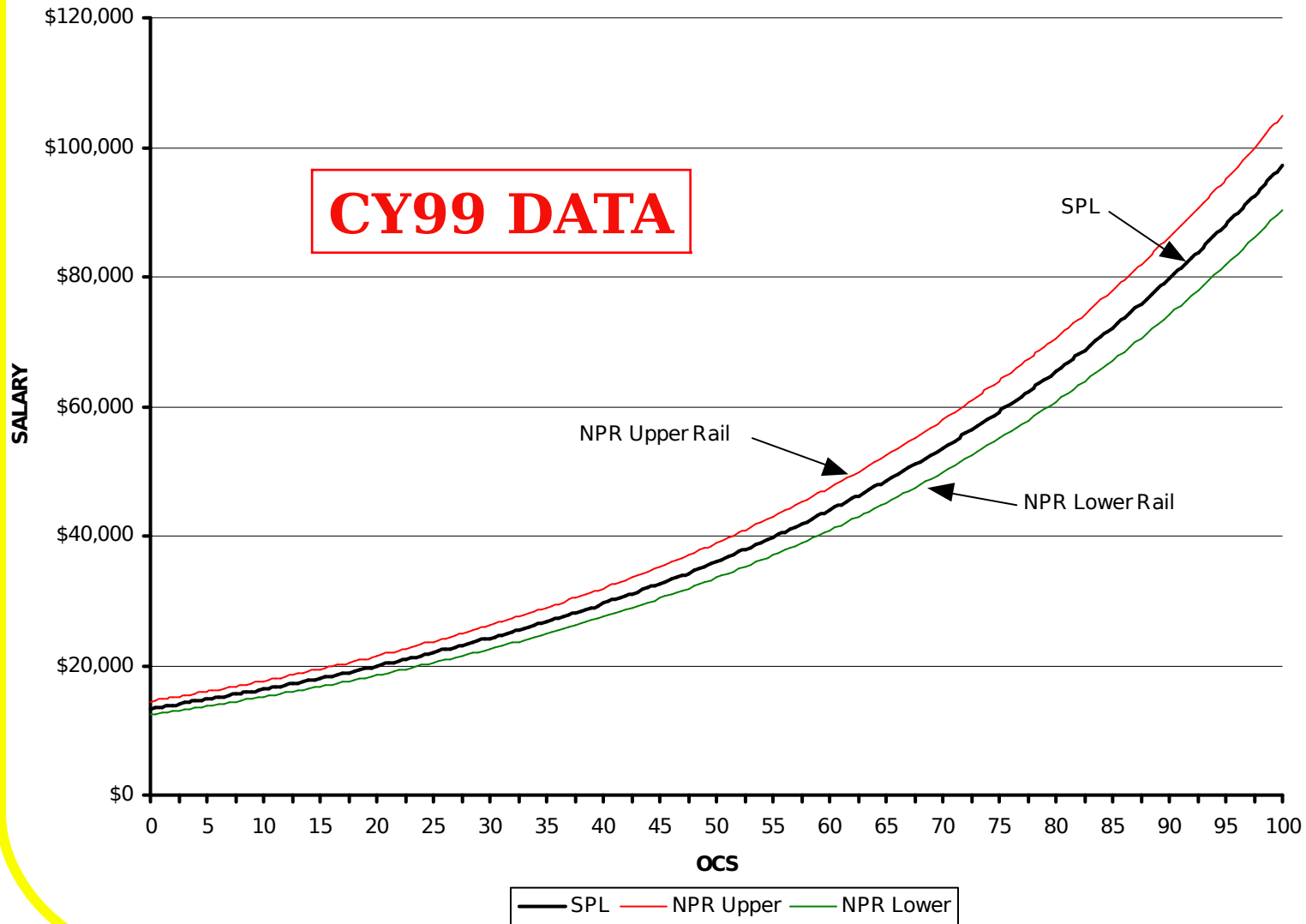
- **Equitable & flexible method for appraising**

- **Allow for more employee involvement**
 - **Naturally increase communication**
 - **Promote clear accountability of contribution**
 - **Employee pay progression linked to organizational contribution**
 - **Basis for salary changes**

CCAS Terms of Reference

- **Normal Pay Range (NPR) Bounded by Upper/Lower Rail**
- **Vertical midpoint of Normal Pay Range (NPR) is the Standard Pay Line (SPL)**
 - Computation reference point for most organizations
- **Scattergram Shows Link of Contribution to Salary**
- **Overall Contribution Score (OCS) vs. Salary**
 - OCS: 0 - 100
 - Salary: GS-1/1 - GS-15/10
- **And.....for the *engineers*, SPL--**
 - $\text{Salary}_{\text{SPL}} = \text{Salary}_{\text{GS-1/1}} (\sim 1.020043)^{\text{OCS}}$
 - $\text{OCS} = [\text{L}_n(\text{Salary}) - \text{L}_n(\text{Salary}_{\text{GS-1/1}})] / \text{L}_n(\sim 1.020043)$

CY99 Standard Pay Line (SPL) & Normal Pay Range (NPR)
Base Salary (w/o Locality) vs Overall Contribution Score (OCS)



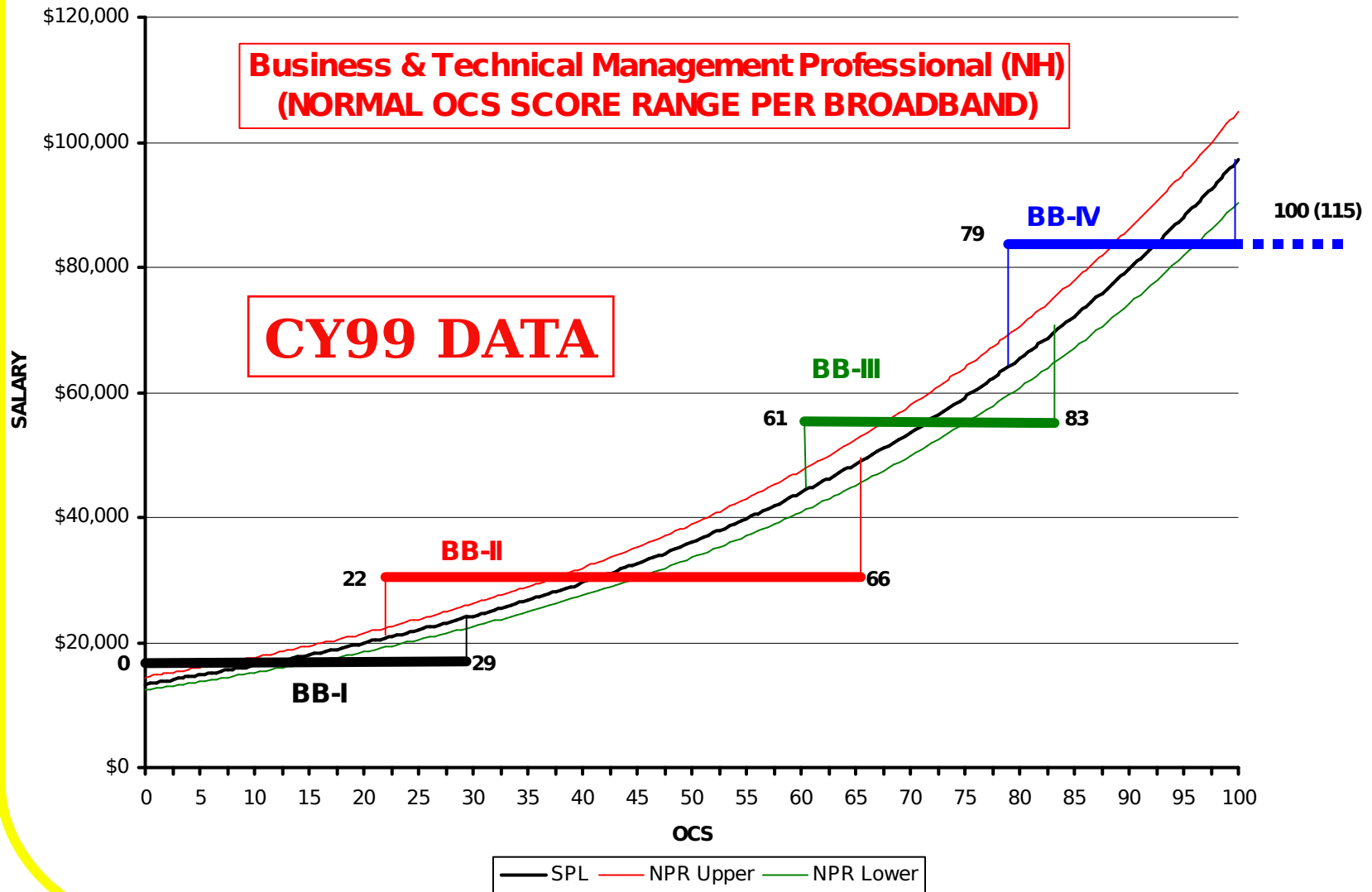
Normal Pay Range (NPR)

- **Upper Rail/Lower Rail**

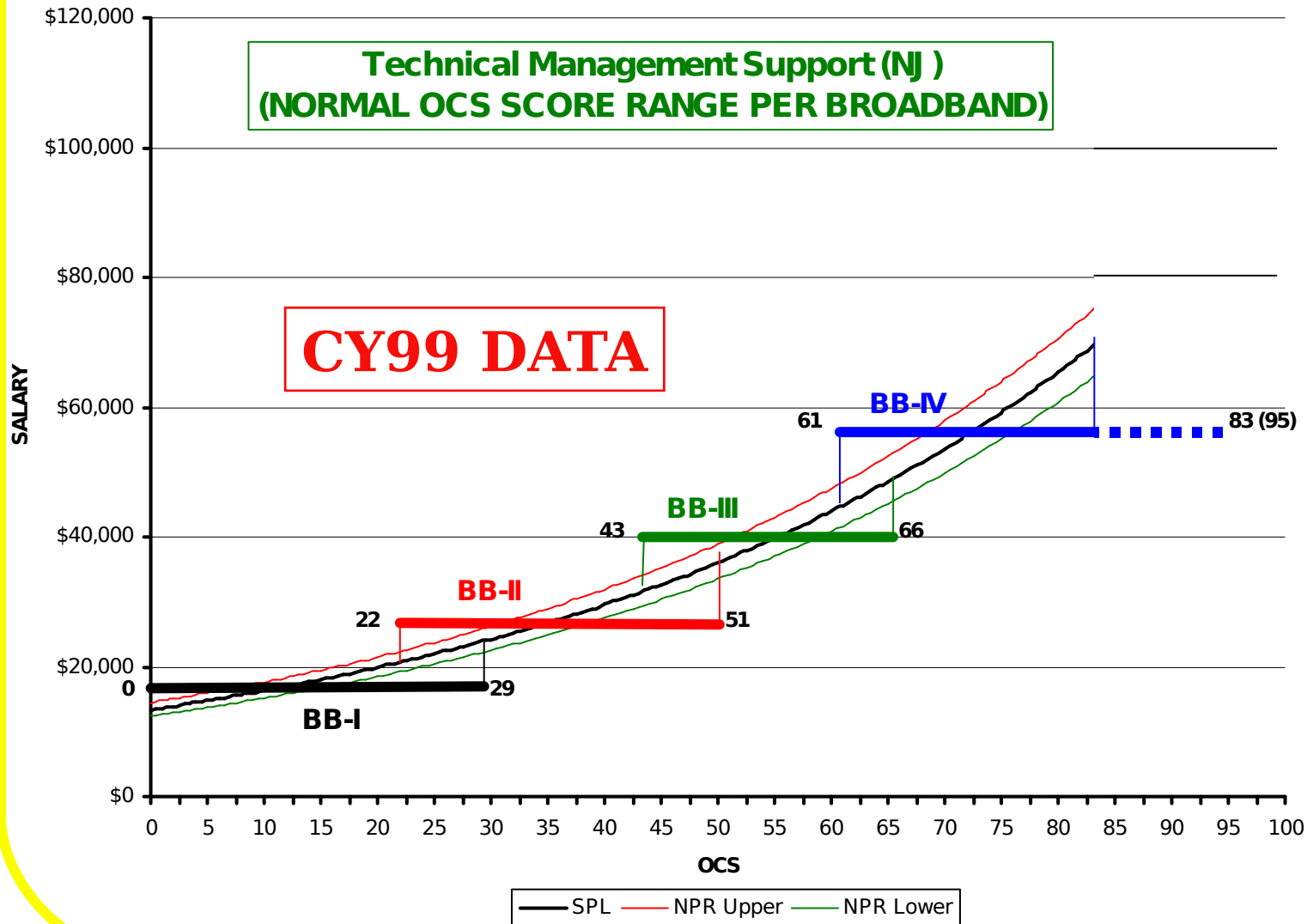
- $\text{Salary}_{\text{Upper Rail}} = \text{Salary}_{\text{GS-1/1}}(1.08)(\sim 1.020043)^{\text{OCS}}$
- $\text{Salary}_{\text{Lower Rail}} = \text{Salary}_{\text{GS-1/1}}(0.92)(\sim 1.020043)^{\text{OCS}}$
- Salary differential from SPL to either rail at any OCS = +/- 8%
- OCS differential from SPL to either rail at any Salary = $\sim \pm 4$ points

- NPR computation identical for all career paths
- OCS min/max (& associated salary) for each broadband varies with career paths
- Employees may determine expected OCS & range through use of the above formula (or Excel calculator I have provided)
 - Note: Federal Register table uses CY98 salary reference
 - This material uses CY99 salary reference

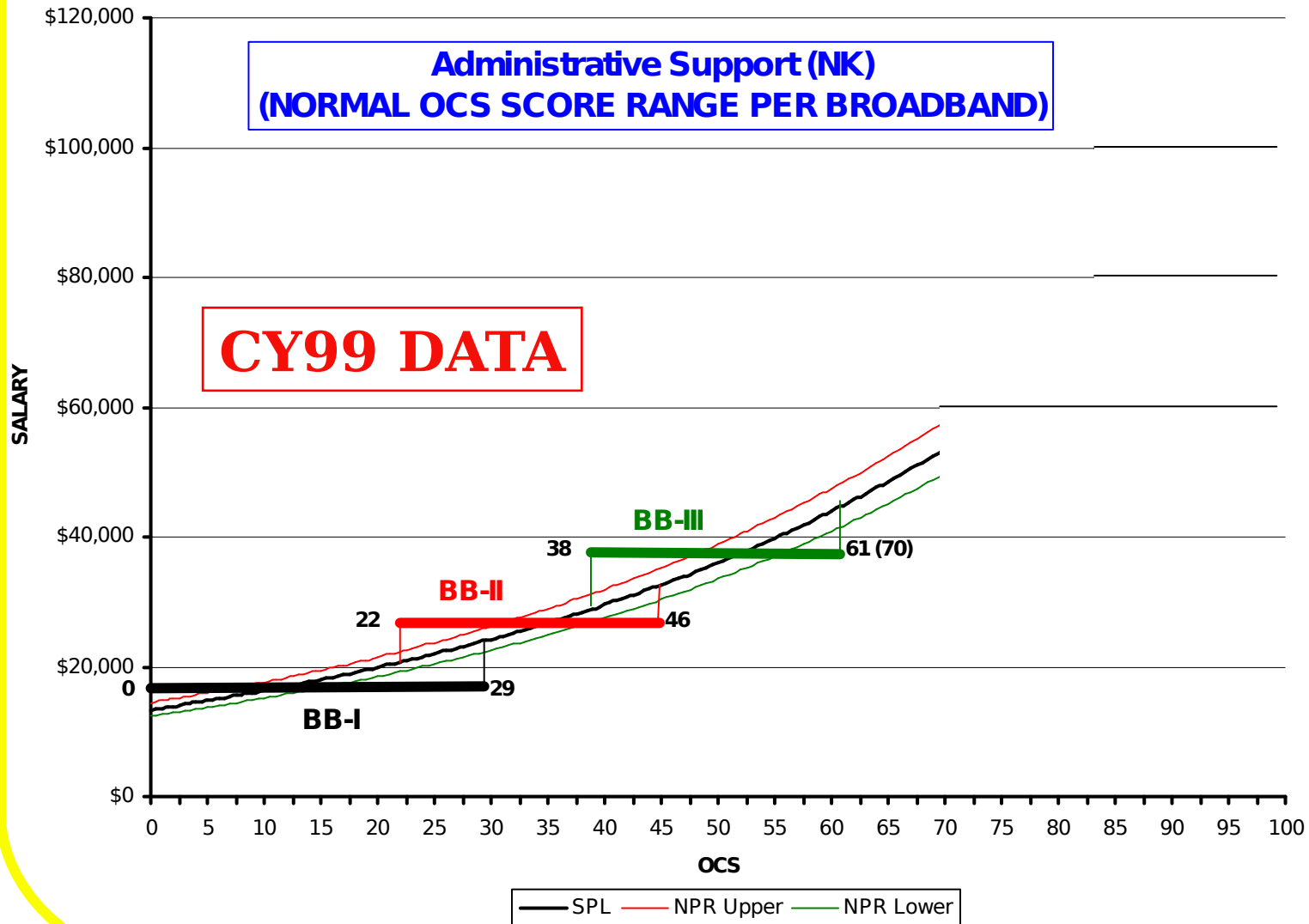
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CY99 Standard Pay Line (SPL) & Normal Pay Range (NPR)
Base Salary (w/o Locality) vs Overall Contribution Score (OCS)



OCS Excel Calculator

(Available on Acq Demo Web Site)



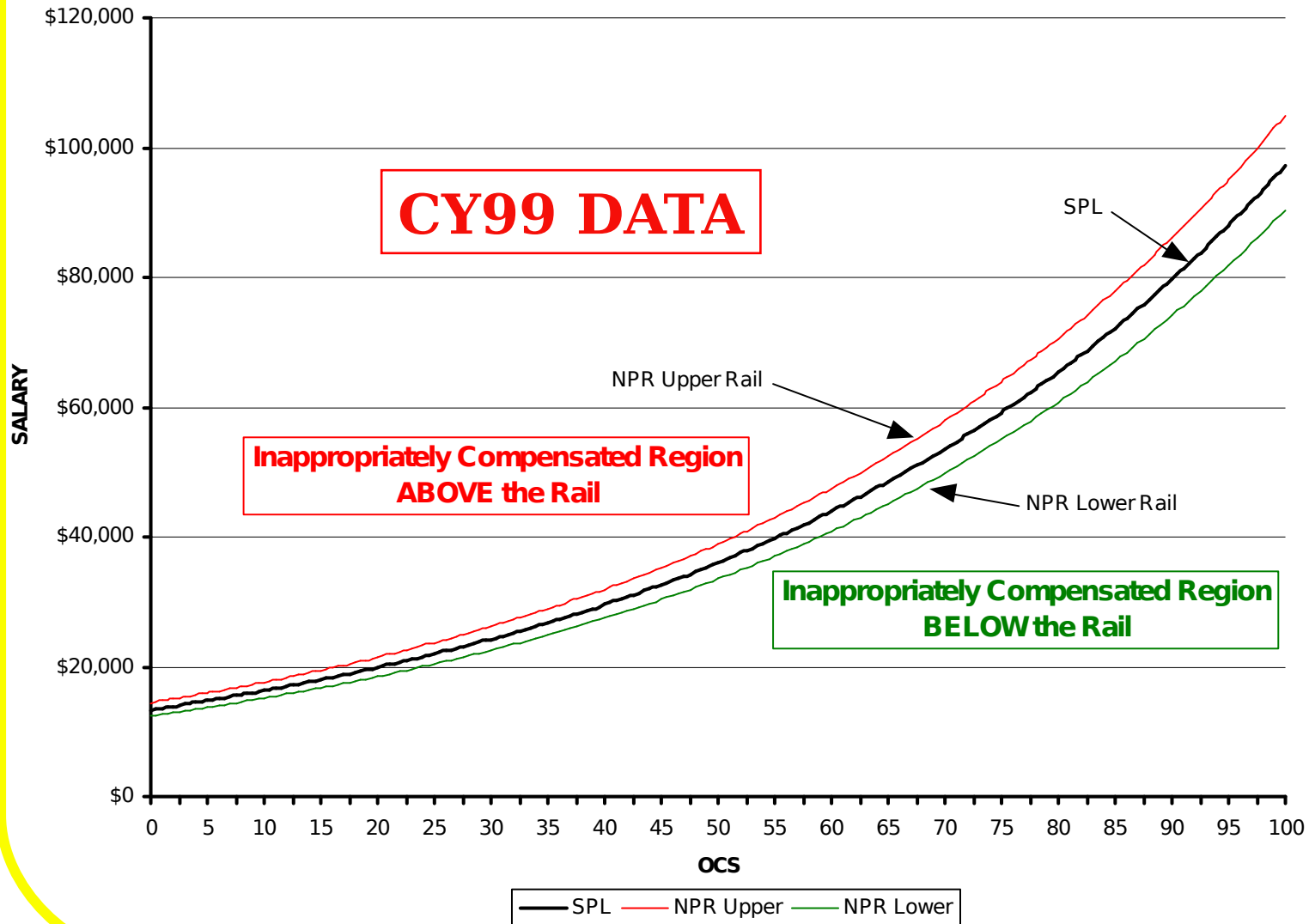
Upper Rail	Lower Rail
5.3	49.5

CY01 DATA

Salary & Award Options

- **Appropriately compensated (within the NPR--between the rails)***
 - Full General Pay Increase (GPI)
 - Up to a 6% Contribution Rating Increase-CRI (not to exceed upper rail)
 - Up to a \$10,000 Contribution Award-CA w/pay pool manager approval
- **Inappropriately compensated-A (Above upper rail)***
 - GPI could be reduced or denied (not mandated)
 - Not eligible for CA or CRI
- **Inappropriately compensated-B (Below lower rail)***
 - Full GPI
 - Up to 20% CRI (NTE 6% above lower rail or BB max)
 - Up to a \$10,000 Contribution Award-CA w/pay pool manager approval

CY99 Standard Pay Line (SPL) & Normal Pay Range (NPR)
Base Salary (w/o Locality) vs Overall Contribution Score (OCS)



CCAS GPI/CRI/CA Rules Table

Category	General Pay Increase	Contribution Rating Increase	Contribution Award	¹ Locality Pay
Inappropriately Compensated - A	Could be reduced or denied	NO	NO	YES
Appropriately Compensated	YES	YES ² - Up to 6%	YES ⁵	YES
Innapropriately Compensated - B	YES	YES ^{3,4} - Up to 20%	YES	YES

1. Basic pay plus locality pay may not excee Executive level IV basic pay.

2. May not exceed upper rail of NPR for employee's OSC or maximum salary for current broadband level.

3. Over 20% requires local commander's approval.

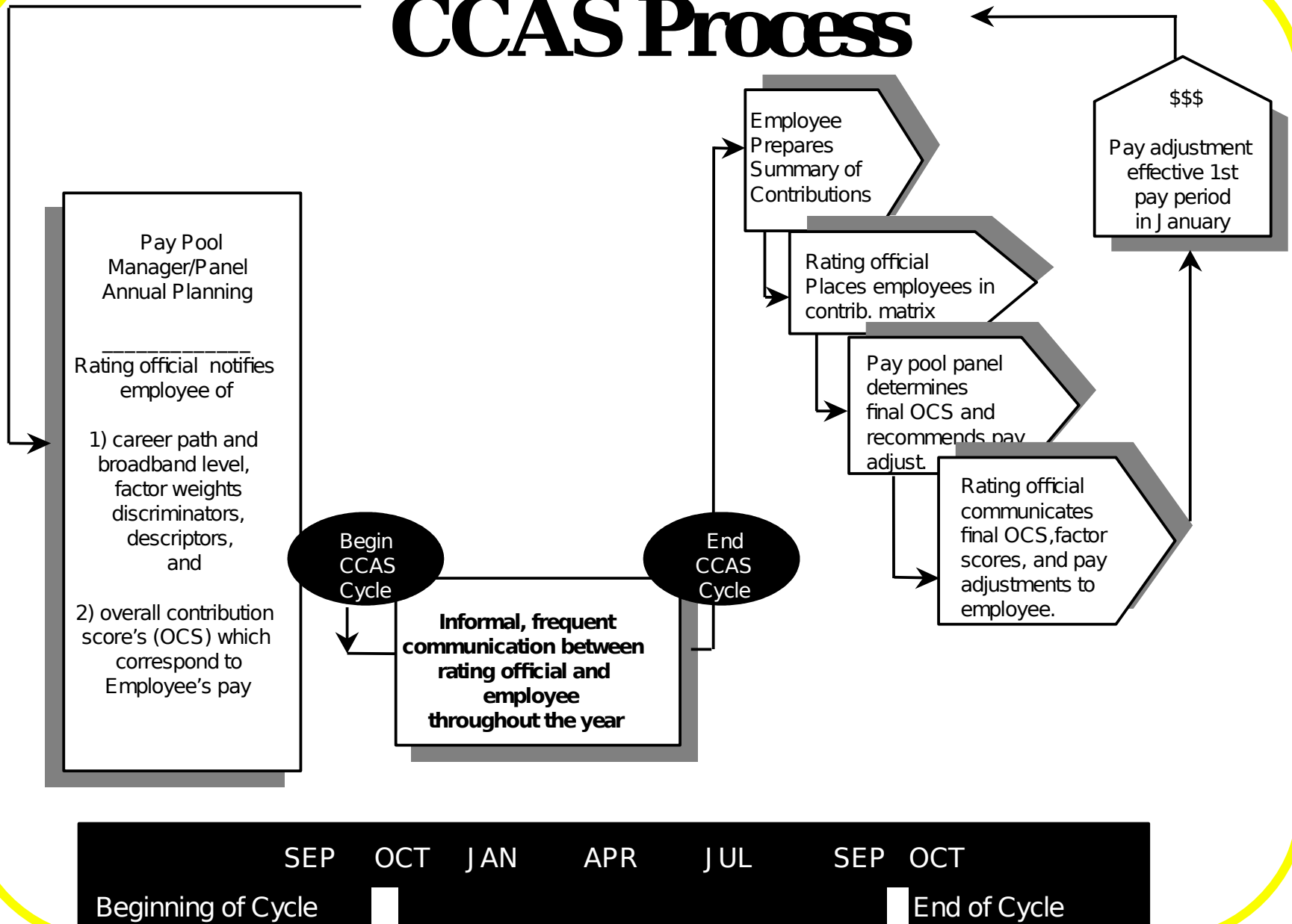
4. May not exceed 6% above the lower rail or the maximum salary for current broadband level.

5. Pay pool manager approves up to \$10,000. Amounts exceeding \$10,000 require local commander's approval.

End of Cycle CCAS Process

- **Determination of contribution**
 - Employee contribution input (self-assessment/narrative form)
 - Supervisor assessment (categorical ranking/draft OCS)
 - IF pay pool has sub-panels: Sub-panel initial review, discussion, and adjustment of assessments if required
 - Pay pool panel review/acceptance of OCS results
 - Pay pool manager approval of OCS results
- **Salary & award determination by pay pool panel**
- **Completion of CCAS appraisal forms**
- **Feedback to employee**

CCAS Process



Contribution Assessment

- **Based on factors, discriminators & descriptors**
- **Factors identical for all career paths**
 - Problem Solving, Teamwork/Cooperation, Customer Relations, Leadership/Supervision, Communication, Resource Management
- **Discriminators refine factors and are identical for all career paths**
- **Descriptors define increasing levels of contribution and are different for each career path and broadband**
 - Indicate contribution for high end of each broadband
 - Not to be used individually to assess contribution (to be taken as a whole to derive single evaluation for the factor)

Annual CCAS Process-1 of 5

- **Step-1**

- 1 Sep, employee prepares self assessment form (part-3)
- To be returned not later than 15 Sep
- **BULLETED** contributions against factors
- Supervisor/employee discussions for clarification, if necessary

- **Step-2**

- Supervisor assesses contributions using a contribution matrix
- By 15 Oct, supervisor completes **DRAFT** assessment (part-2) w/recommended categorical and factor scores
- Assessment forwarded to next higher panel/organization (pay pool sub-panel or pay pool panel)

- **Step-3**

- Starting 16 Oct, pay pool panel/sub-panel meet for 1st discussion
- Each employee is placed in an overall contribution

matrix

29 May 01

Panel members do not assess themselves (or one level)

PART III EMPLOYEE SELF ASSESSMENT		FACTOR WEIGHT:
Instruction: Provide narrative comments regarding your contribution against each factor during the current year.		
PROBLEM SOLVING:		<u>1.00</u>
TEAMWORK/COOPERATION:		<u>1.00</u>
CUSTOMER RELATIONS:		<u>1.00</u>
LEADERSHIP/SUPERVISION:		<u>1.00</u>
COMMUNICATIONS:		<u>1.00</u>
RESOURCE MANAGEMENT:		<u>1.00</u>
<div> <div>Signature</div> <div>Date</div> </div>		

PART II Supervisor Assessment

Instruction: Provide narrative comments regarding employee's contribution against each factor during the current year and a score for each factor.

Problem Solving:

Factor Weight:	Factor Score:	Weighted Score:
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_____	_____	_____
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Teamwork/Cooperation:

_____	_____	_____
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Customer Relations:

_____	_____	_____
-------	-------	-------

Leadership/Supervision:

_____	_____	_____
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Communications:

_____	_____	_____
-------	-------	-------

Resource Management:

_____	_____	_____
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Signature

Date

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		<i>Business and Technical Professional</i>	<i>Technical Support</i>	<i>Administrative Support</i>
L E V E L S		Point Range	Point Range	Point Range
		115	95	70
		96-100	79-83	
	IV	84-95	67-78	
		79-83	61-66	
		79-83	62-66	57-61
	III	67-78	52-61	47-56
		61-66	43-51	38-46
		62-66	47-51	42-46
		51-61	41-46	
	II	41-50	36-40	30-41
		30-40	30-35	
		22-29	22-29	22-29
		24-29	24-29	24-29
	I	6-23	6-23	6-23
		0-5	0-5	0-5

Point Ranges - Table 4 of DoD OP

Annual CCAS Process-2 of 5

- **Step-4**

- Following the meeting, OCS scores are calculated & employees are listed by relative OCS; results forwarded to pay pool manager
 - » Note-1: Several persons will likely be at same level (OCS scores should be viewed as a “band”)
 - » Note-2: Separate contribution matrix used for each career path
 - » Note-3: Factor scores are averaged and rounded (0.5 up)
 - » Any scores changed from supervisor recommendation are discussed with supervisor

- **Step-5**

- Prior to 15 Nov, pay pool panel meets to identify and correct inconsistencies in employees' OCS consolidated listing
- Once again, any changes discussed with supervisor

- **Step-6**

- Pay pool manager receives final OCS list by 20 Nov for

Annual CCAS Process-3 of 5

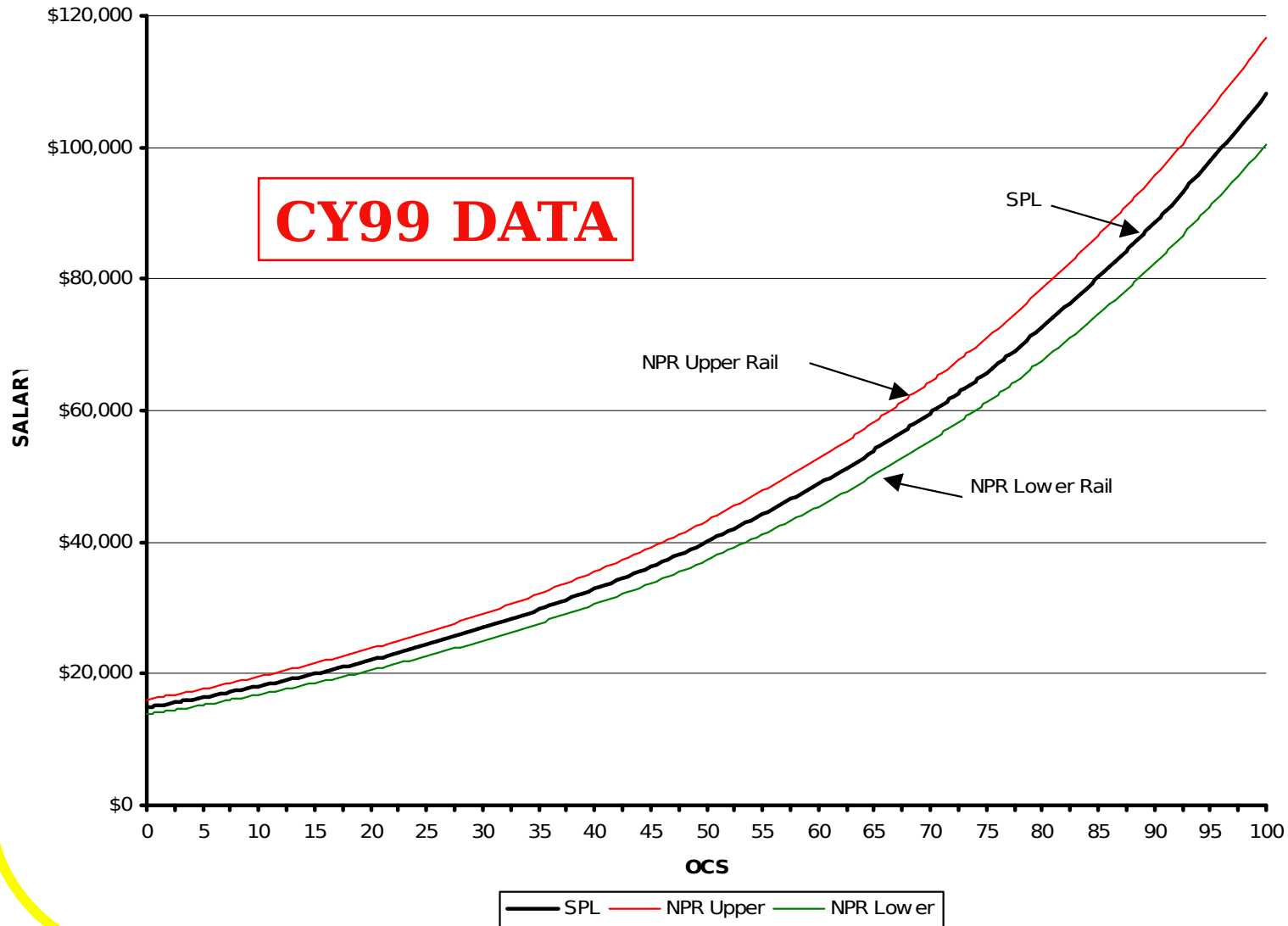
- **Step-7**

- **Current base salary versus OCS is determined & tabulated/plotted for all employees in pay pool (via CCAS Spreadsheet software)**
 - » **Appropriately Compensated**
 - » **Inappropriately Compensated-A**
 - » **Inappropriately Compensated-B**
- **Relative Score and Delta OCS (computed by CCAS software)**
 - » **Relative Score is a measure, in per cent, of vertical offset from the SPL (rails are at +/- 8%)**
 - » **Easiest way to visualize comparative rankings**
 - » **Delta OCS is the horizontal offset from the SPL to an employee's score (whole numbers/rounded)**

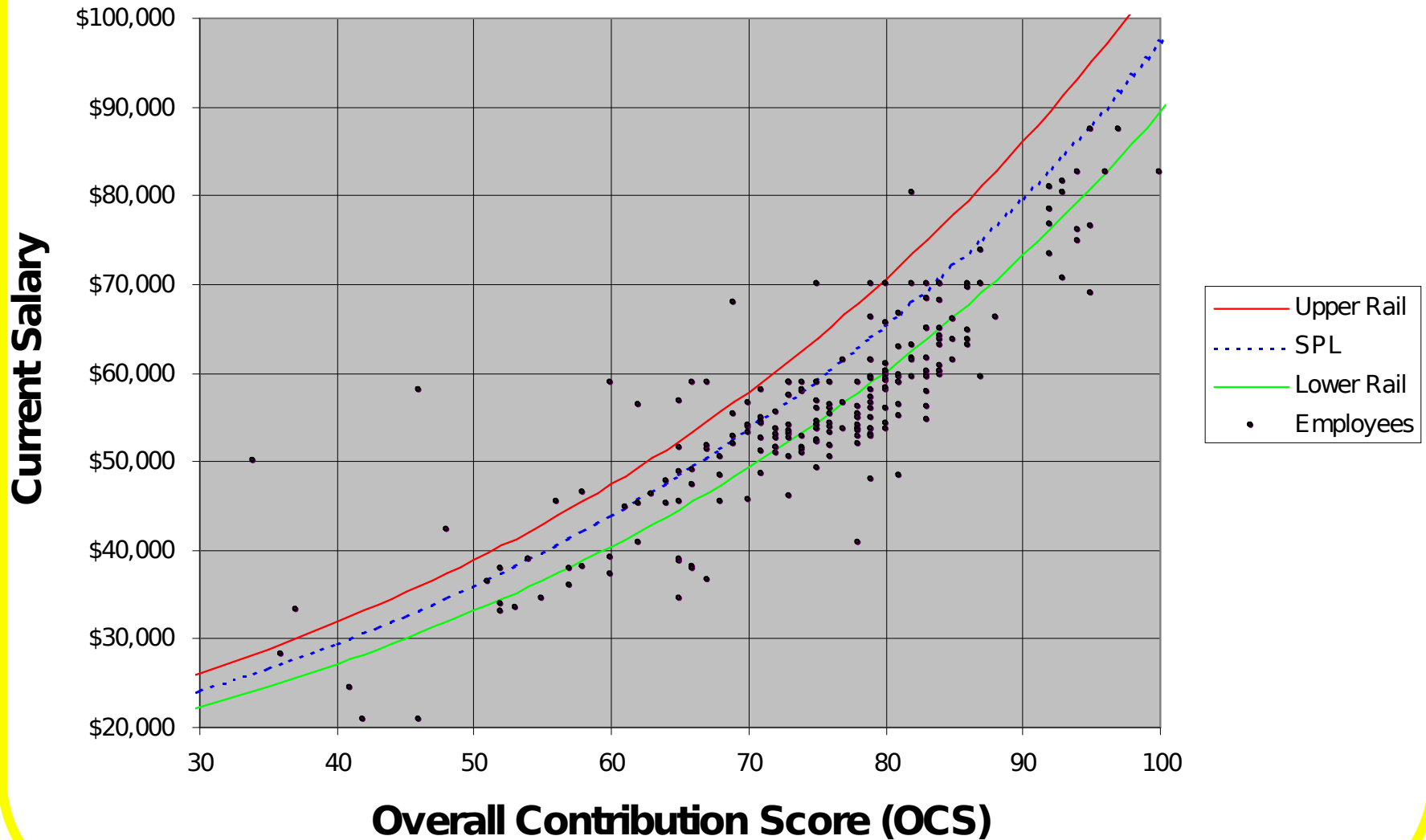
Example of Relative Score Ranking & Comparisons

Employee: Last	First	Locality Salary	OCS	Compensation Region	Relative Score
DOE-1	John-1	\$35,603	64	**C-Below Rail**	-32.68
DOE-2	Jane-2	\$35,253	61	**C-Below Rail**	-29.25
DOE-3	John-2	\$39,338	62	**C-Below Rail**	-22.61
DOE-4	Jane-3	\$42,709	66	**C-Below Rail**	-22.39
DOE-5	John-3	\$32,150	51	**C-Below Rail**	-21.32
DOE-6	Jane-4	\$63,310	82	**C-Below Rail**	-16.25
DOE-7	John-4	\$59,696	79	**C-Below Rail**	-16.18
DOE-8	Jane-5	\$63,310	81	**C-Below Rail**	-14.57
DOE-9	John-2	\$65,229	82	**C-Below Rail**	-13.71
DOE-40	Jane-9	\$65,229	82	**C-Below Rail**	-13.71
DOE-10	Jane-3	\$58,083	76	**C-Below Rail**	-13.45
DOE-11	John-3	\$63,310	79	**C-Below Rail**	-11.11
DOE-12	Jane-4	\$65,229	80	**C-Below Rail**	-10.21
DOE-13	John-4	\$67,147	81	**C-Below Rail**	-9.39
DOE-14	Jane-5	\$67,147	81	**C-Below Rail**	-9.39
DOE-15	John-5	\$63,310	78	**C-Below Rail**	-9.33
DOE-16	Jane-6	\$63,310	78	**C-Below Rail**	-9.33
DOE-17	John-3	\$61,310	76	**C-Below Rail**	-8.64
DOE-18	Jane-4	\$65,229	79	**C-Below Rail**	-8.41
DOE-19	John-4	\$70,983	82	AC-Towards Lower Rail	-6.10
DOE-20	Jane-5	\$63,310	76	AC-Towards Lower Rail	-5.66
DOE-21	John-5	\$69,065	80	AC-Towards Lower Rail	-4.93
DOE-22	Jane-6	\$65,229	77	AC-Towards Lower Rail	-4.71
DOE-23	John-6	\$70,983	81	AC-Towards Lower Rail	-4.21
DOE-24	Jane-7	\$59,474	72	AC-Towards Lower Rail	-4.05
DOE-25	John-4	\$63,310	74	AC	-1.84
DOE-26	Jane-5	\$74,820	80	AC	2.99
DOE-27	John-5	\$54,855	63	AC-Towards Upper Rail	5.80
DOE-28	Jane-6	\$62,924	67	**C-Above Rail**	12.10
DOE-29	John-6	\$53,241	56	**C-Above Rail**	17.99
DOE-30	Jane-7	\$74,820	73	**C-Above Rail**	18.33
DOE-31	John-7	\$74,820	72	**C-Above Rail**	20.71
DOE-32	Jane-8	\$59,696	59	**C-Above Rail**	24.65
DOE-33	John-5	\$56,469	56	**C-Above Rail**	25.15
DOE-34	Jane-6	\$65,229	63	**C-Above Rail**	25.81
DOE-35	John-6	\$59,696	57	**C-Above Rail**	29.70
DOE-36	Jane-7	\$56,469	51	**C-Above Rail**	38.20
DOE-37	John-7	\$54,855	37	**C-Above Rail**	77.25
DOE-38	Jane-8	\$56,469	36	**C-Above Rail**	86.12
DOE-39	John-8	\$54,855	31	**C-Above Rail**	99.66

CY99 Standard Pay Line (SPL) & Normal Pay Range (NPR)
Full Salary (Including Locality) vs Overall Contribution Score (OCS)



Current Salary vs. OCS Chart



Annual CCAS Process-4 of 5

• Step-8

- Pay pool manager, in consultation with pay pool panel, determines potential salary adjustments and contribution awards, following the requirements in Federal Register & DoD Operating Procedure (OP)
 - » CCAS CRI funds first year = 2.4% of salaries in the pool
 - Thereafter is a minimum of 2% (installations may set higher amount)
 - » CCAS CA funds first year = 1.3% of salaries in the pool
 - Thereafter is a minimum of 1% (installations may set higher amount)
 - Represents 90% of annual award dollars**
 - 10% of pool is set aside for other annual monetary awards
 - » GPI money not used may be applied to CRI pool
 - » CRI money not used may be applied to CA pool
 - » Personnel at broadband salary cap can receive CA supplemented by money that might have been used for a CRI

- CCAS Data Base and CCAS Spreadsheet software are

Annual CCAS Process-5 of 5

- **Step-10**

- GPI/CRI/CA and Locality amounts are documented on the CCAS Appraisal Form Part-1 (automatic printout from software)

- **Step-11**

- The supervisor communicates the final OCS, factor scores and pay adjustments to each employee after completion of Part-1 and end of leave year (Parts-1, 2, and 3 placed into employee's folder)

- **NOTE-1: Pay adjustments are effective the first full pay period in January**

- **NOTE-2: In accordance with Federal Register and DoD OP, if consensus cannot be reached in any panel or sub-panel discussion, pay pool manager will make decision**

- **NOTE-3: If an employee plots above the upper rail, either a letter documenting the situation (and no CIP) or a CIP is required**

Factor Weighting

- **Weighting can be used for factors, BUT...**
 - Must be consistent for like jobs
 - Must not be less than 0.5 nor more than 1.0
 - Employee **MUST** be advised of all weightings **by start of appraisal period**

Pay Pools (1 of 3)

- **Federal Register (on meetings):**
 - Pay Panel/Sub-Panel meet to ensure consistency & equity of rating
 - Pay Panel/Sub-Panel meet again to review OCS for all employees
- **Federal Register (on pay pool make-up):**
 - Pay pool panel = pay pool manager & supervisors who *normally* report directly to him/her
- **Federal Register (on authority):**
 - “panel has the authority to make OCS adjustments *after discussion with the initial rating official*”
 - “final approval of OCS rests with the pay pool manager”

Pay Pools (2 of 3)

- **CCAS Responsibility:**

- **Assessments**

- » **Know how the process works! Be an Expert!**
 - » **Identify any factor weights at the beginning of the rating period and communicate to employees (before 1 October each year)**
 - » **Execute CCAS process**
 - » **Be present for all panel CCAS meetings (set advance calendar)**

- **Hear grievances/appeals**

- » **Rating official makes recommendation to pay pool panel**
 - » **Panel accepts recommendation or makes independent decision (with appropriate justification)**
 - » **Decision final *unless* employee requests reconsideration by official one level higher than pay pool manager**
 - » **Higher level official's decision is final (no appeal to**

Pay Pools (3 of 3)

- **Larger pay pool administration (per DoD OP)--**

- DoD OP provides for a sub-panel structure if necessary
- Necessary when one meeting to arrive at OCS for all pay pool employees is insufficient or not possible (as in matrix/large orgs)
- Sub-panels may be comprised of 1st & 2nd level supervisors
- Following sub-panel deliberations, pay panel meets (consisting of representatives from sub-panels)
- This meeting is to ensure consistency across various divisions AND includes the OCS determination forwarded from sub-panels
- Any required changes and supporting justification are coordinated with supervisors

» *Discussions with supervisor should take place after sub-panel meetings if any changes from*

30 *recommended rating; this should also occur after*
any changes made by main pay panel

To Do--

- **Installation/organization--**
 - Identify/appoint pay pool manager(s)
 - Policy board meets
 - Policy decisions (CRI%, CA%, salary setting, floors, discretionary)
- **Pay pool manager--**
 - Identify/appoint panel and any sub-panel membership
 - Conduct initial pay pool panel/sub-panel organizational meeting
 - Further train supervisors & panel members in CCAS and responsibilities/Establish pay pool panel and any sub-panel CCAS schedule; hold periodic panel meetings (not just at CCAS time)
- **Supervisor to employees--**
 - Identify pay pool panel structure to employees—manager, panel members, any sub-panel member
 - Contribution factors, descriptors, discriminators discussed with employees; PRDs provided & discussed
 - Review expected OCS for the employee's current salary

Questions/Answers

- **Who does employee self-assessment?**
 - **Ans: Employee**
- **Who provides initial categorical/OCS input to panel/sub-panel?**
 - **Ans: Supervisors**
- **Who are the panel/sub-panel members who receive & deliberate on the contribution matrix placement of each employee?**
 - **Ans: Panel/sub-panel (as established by pay pool manager)**
- **Who are the panel members who give final thought and discussion to consistency & equity and make adjustments including CRI/CA recommendations**
 - **Ans: Pay Panel (not sub-panel)**

Questions/Answers....more

- **What about employees who were in target promotion positions at the point of DEMO buy-in; how does CCAS handle these?**
 - **Ans: Pay pools can innovatively handle these situations through discretionary CRI and discretionary CA (cannot change salary except via CCAS or broadband promotion)**
- **What about employees in temporary promotions; how are these handled?**
 - **Ans: Employees are assessed against their permanent base salary and the permanent position they encumbered on 30 Sep--temporary promotion salary is unaffected unless supervisor adjusts it with SF52/PAR action**
- **What about employees promoted after 30 Sep and before January payout?**
 - **Ans: If promotion salary greater than CCAS CRI, they get promotion salary in lieu of CRI (override it & distribute to pool)**

Questions/Answers....still more

- **What about employees who leave the Demo after 30 Sep but before January payout?**

- **Ans: They may receive a CA if otherwise eligible but no CRI (pool overrides CRI payout and distributes to pool)**

- **What about employees who are hired or lateral in from a non-demo organization during mid-year?**

- **Ans: To receive a CCAS assessment, employee must have been in DEMO a prescribed minimum time (~90/180 days) otherwise they are placed on the SPL (receive “expected” OCS score) and do not receive either a CRI or CA (they get GPI & any locality adjustment)**

- **What about employees who move from one pool to another during the year; who assesses?**

- **Ans: The pool the employee is in on 30 Sep is the pay pool which makes the official assessment and from which payout is made (even if for only a day or two) the**

Questions/Answers....and still more

- **What about employees on LWOP or LTFT?**
 - **Ans:** Employees who are in LTFT or on LWOP for a long period of time IAW FR are placed in a “presumptive” status which provides them an “expected” score for their salary**
- **Do employees have to submit a self-assessment?**
 - **Ans:** Employees have the opportunity to submit a self-assessment enabling their supervisors to more easily recognize contributions (if they do not, supervisor completes assessment without it)
- **How do I write an effective self-assessment?**
 - **Ans:** The most effective self-assessments are contribution-result oriented (not performance oriented). In other words, “I completed action ‘a’ and it resulted in such and such benefit to the organization” as opposed to, “I built 40231 widgets”....., OR, “I typed all correspondence on time with minimal errors ensuring the Commander could engage with higher level activities and resulting in improved organization

Questions/Answers....concluded

- **Doesn't this process take a lot of time?**
 - **Ans: Yes! To execute the DEMO CCAS correctly consumes time, probably a total of 8 staff hours for each employee (total staff hours and employee hours divided by number of employees in organization)**
 - » **BUT, probably no more time than all supervisors should be expending in any appraisal system to motivate, communicate, and recognize our valuable employee staff**
 - » **If we spent this kind of quality time in the former appraisal systems, we might have achieved better results; DEMO CCAS forces management/supervision to "do it right/spend the time"**
 - » **Aren't all employees owed this kind of effort**

CCAS Mock Appraisal Schedule

- **10 days** Employee self-assessments Part-3)
- **10 days** Supervisor initial assessments
- **15 days** Pay Pool Panel/Sub-Panel discussions/Approval
- **7 days** Supervisor Complete Part-II
- **7 days** Pay Pool Panel Complete Part-I

**DO NOT ABBREVIATE THE MOCK APPRAISAL
LEARN FROM IT
YOU WILL BE THANKFUL YOU DID IT**

Your Questions?